National Oceanic and Atmospheric Administration
National Environmental Satellite, Data and Information Services
Revised 7/05   N1-370-03-10

1401   General

1401-01   Project Case Files (New item)

These files document the entire life cycle of environmental information systems from the inception, through procurement, planning and development, and deployment, to the decommissioning. Included should be information related to the development of the program, the decision-making process, warranty information for sensors and components, and include relevant technical manuals and diagrams.

Examples of these files include, but are not limited to, the Geostationary Environmental Satellites (GEO), the Polar Environmental Satellites (Polar), related ground systems, and Climate Reference Network (CRN).

Authorized Disposition:

a.   **Official Project File.** Cut-off when the system is decommissioned or terminated. Destroy 5 years after cut-off.

b.   **Background information/working papers.** Cut-off upon completion of project. Destroy immediately upon cut-off.

Note: Incorporate any official documents with official project file before destroying background information.

c.   **Electronic copies created on word processing and electronic mail systems**: Delete after recordkeeping copy is produced.

1402 International and Interagency Affairs Office

1402- 01   Commercial Remote Sensing Licensing Files (New item)

Documents related to licenses issued by NOAA to U.S. companies to operate commercial remote sensing satellite systems. The 1992 Land Remote Sensing Policy Act and Administration policy on foreign access to its capabilities, responsibilities were delegated from the Secretary of Commerce to the Assistant Administrator of NESDIS for the licensing of all private space-based remote sensing systems. Includes specific records related to applications, amendment requests, company foreign agreements with foreign entities, correspondence between NOAA, the licensee, and other Federal Agencies; and licenses and approvals for foreign agreements issued by NOAA.

Authorized Disposition

a.   Cut off files at the end of the calendar year in which the compliance audit has been completed or license has been terminated. Destroy 10 years after cutoff.

b.   Electronic copies created on word processing and electronic mail systems: Delete after record keeping copy is produced.

1403　　Office of Satellite Operations

1403 -01　　Anomaly Reports (New item)

Reports detailing anomalous conditions that have effected the performance of the satellite. These reports are used by researchers when reviewing the data collected by the satellite in the event of apparent anomaly. These reports are generated electronically and are stored in both hard copy and as PDF files.

Authorized Disposition:

Cut-off file(s) at end of calendar year in which the data are no longer needed for immediate/current research purposes. Destroy/delete 75 years after cutoff upon approval by NOAA and NESDIS stakeholders. A longer retention may be necessary for research purposes.

Note: This disposition can be revisited with the National Archives via the records scheduling process if there is a business need for NOAA to do so.

1403 -02　　Event Reports (New item)

These reports describe activities that have occurred during the operation of a satellite (e.g. orbital adjustment or change in condition or performance of an instrument). These reports assist researchers to understand data acquired from the satellite and any reasons for noticeable changes in the data. These reports are generated electronically and are stored in both hard copy and as PDF files.

Authorized Disposition:

Cut-off file(s) at end of calendar/fiscal year in which the data are no longer needed for immediate/current research purposes. Destroy/delete 75 years after cutoff upon approval by NOAA and NESDIS stakeholders. A longer retention may be necessary for research purposes.

Note: This disposition can be revisited with the National Archives via the records scheduling process if there is a business need for NOAA to do so.

1403-03　　Satellite Telemetry Data (New item)

Information sent back from the various environmental satellites relaying the state of health and performance of the spacecraft.

Authorized Disposition:

Cut-off when satellite series is decommissioned. Delete 2 years after cut-off.

1403-04   **Satellite Trending Data** (New item)

Information, derived from the telemetry data (**1402-03**), that calculate statistical data over the course of an orbit or time period. Daily plots of the data are created and provided to the engineers and scientists for their reference.

Authorized Disposition:

Cut-off when satellite series is decommissioned. Delete 2 years after cut-off.

1404 Office of Satellite Data Processing and Distribution

1404-01 **Search and Rescue Satellite Aided Tracking (SARSAT) Alert Records** (New item)

All electronic data, logs, and support information received, created and transmitted in support of alerting national and international search and rescue organizations about actual or potential distress incidents.

Authorized Disposition
a. Destroy or delete when 5 years old or when current software system can no longer support retrieval of data, whichever is longer.

b. Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1404-02 **SARSAT Beacon Registration Records** (New item)

All electronic and paper copies of registration forms and correspondence relating to the registration of an emergency beacon.

Authorized Disposition
a. Paper copies: Destroy one year after converted to electronic files and verified.

b. Electronic copies and scanned images: Cut-off when beacon is registered. Destroy 50 years after cutoff or when no longer needed for reference, whichever is later.

c. Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1404-03 **SARSAT Trend and Monitoring Records** (New item)

All electronic records and paper copies of incident feedback from search and rescue organizations, system monitoring and performance data, and trend data.

Authorized Disposition
a. Paper copies: Destroy one year after converted to electronic files and verified.

b. Electronic copies and scanned images: Cut-off records at end of calendar year in which trend and performance evaluations have been completed.

Destroy 3 years after cutoff.

c.   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1404-04   **Data Collection System User Agreements** (New item)

All electronic and paper copies of System User Agreements for the Argos and GOES Data Collection System (DCS) programs.

Authorized Disposition
a.   Paper copies: Destroy one year after converted to electronic files and verified.

b.   Electronic copies and scanned images of Argos Agreements: Cut-off at end of calendar year in which agreement expires. Delete 3 years after cut-off.

c.   Electronic copies and scanned images of GOES DCS agreements: Cut-off at end of calendar year in which agreement expires. Delete 5 years after cut-off.

d.   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1404-05   **Direct Readout Station Registration** (New item)

All electronic and paper copies of known operators of meteorological satellite receiving stations throughout the world that have registered with NOAA. There is no System User Agreement required to register for this satellite service.

Authorized Disposition
a.   Paper copies: Destroy one year after converted to electronic format and verified.

b.   Electronic copies and scanned images: Cut-off 6 months after operator indicates that they are no longer receiving data. Delete one year after cut-off.

c.   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1405 Office of Research and Applications

1405-01   **Scientific Research and Development Software**

This series covers software developed for scientific research and development purposes. This includes source code, documentation (installation, maintenance, use), and executables.

Authorized Disposition

a.   Cut off when software is superseded or obsolete. Destroy 5 years after cutoff.

b.   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1406 NOAA National Data Centers

The NOAA National Data Centers are tasked with storing environmental data and making this data available to researchers, scientists, and anyone else that has a need for it, as well as in support of NOAA's mission. There are three centers: the National Climate Data Center (which is focused on climate and weather data), the National Geophysical Data Center (focused on geographical and geophysical data), and the National Oceanographic Data Center (focused on worldwide ocean and coastal data).

This data can either be in-situ, meaning that the observation is localized, or remotely sensed, meaning that the observation covers a large area. The data come from numerous observing networks, such as Geostationary and Polar-orbiting satellites, observing ships, localized observers, and various other means. These data come to the center electronically (e-mail attachments, File Transfer Protocol (FTP), or directly from source) or hard copy. The centers use software developed in-house to ingest and archive the electronic data. The data are stored on tapes within robotic systems for quick access, which is managed by commercial off-the-shelf software.

1406-01   **In Situ and Remotely Sensed Environmental Data** (New item)

    a.   **Inputs:** Data are received from a variety of observing systems. These sources include, but are not limited to: observing stations, ships, satellites, networks, national and international research experiments and laboratory research, as well as satellite, radar, and ship-borne measurements made at great distance.

    Authorized Disposition:
See note below.

Note: Disposition instructions for textual records will be followed in accordance with approved NOAA records schedules. Applicable series include: 1301-02, 1301-13, 1301-14, 1301-15, 1303-02, 1305-06, and 1307-03.

    b.   **Master Data File:** The data record environmental phenomena near to, and distant from, the location of the instrument. Metadata about the station's location and instrumentation are also included. These data are a source of information on environmental parameters, such as weather patterns, vegetation and land cover, human activity, ocean climates, and geophysical descriptions of Earth phenomena.

    Authorized Disposition:
Cut-off file(s) at end of calendar year in which the data are no longer needed for immediate/current research purposes. Destroy/delete 75 years after cutoff upon approval by NOAA and NESDIS stakeholders. A longer retention may be

necessary for research purposes.

Note: This disposition can be revisited with the National Archives via the records scheduling process if there is a business need for NOAA to do so.

c. **Outputs:** The data are used to observe and understand the environment and predict future trends. They are also made available to researchers and customers outside of NOAA for a wide array of purposes. The data are a crucial context for the observation of global environmental phenomena, research into changes of the oceans, monitoring volcanic activity and other hazards.

Authorized Disposition:

c.1. Project-related outputs: Follow appropriate disposition guidelines for project files, including electronic and textual working papers and products. Applicable series include 1406-04 and 1401-01.

c.2. Non-project related outputs: Cut-off when no longer needed for reference or research. Destroy immediately upon cut-off.

d. **Documentation:** Information relating to the data and the development and functionality of the data systems. This includes any testing procedures, quality checking guidelines, government or contractor created manuals and handbooks, and other related materials.

Authorized Disposition:

d.1. Records layouts, data elements definitions, code translation tables (codebooks) for coded data, and all other documentation necessary to interpret the system: Cut off at end of fiscal/calendar year in which system documentation is superseded or obsolete. Destroy/delete 2 years after cutoff.

d.2. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records: Cut off at end of each fiscal/calendar year. Delete/destroy when program officer determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

d.3. Documentation that is hardware or operating system specific, but non-application specific: Cut off at end of fiscal/calendar year in which hardware or operating system becomes superseded or obsolete. Destroy or delete when no longer needed for administrative, legal, audit, or other operational purposes.

d.4. Copies of records relating to system security, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130: Destroy or delete when superseded or obsolete.

d.5. All other documentation, including records documenting periodic audits or review and recertification of applications: Cut off at end of fiscal/calendar year. Destroy after resolution of all issues arising from litigation, claim, negotiation, audit, appeals, or other actions.

e. **Vital Records Backup:** Duplicate copy of the master data file kept in the event of an emergency to ensure the continued operation of the Federal government and to protect the rights of the American people.

Authorized Disposition:
Cut-off when superseded by newer copy. Delete immediately upon cut-off.

f. **System Backup:** Duplicate copy of the master data file kept to prevent loss of data in the event of a system crash.

Authorized Disposition:
Cut-off when superseded by newer copy. Delete immediately upon cut-off.

1406-02 **Order Processing Information Systems** (New item)

This system handles order information for climatological, geophysical, or oceanographic data held at any of the NOAA National Data Centers (NNDC). The system currently within use is the Customer Order Management Processing System (COMPS).

Note: This is a privacy act system of record as it contains names addresses, and credit card information of customers of the NNDC.

a. **System Inputs:** Requests and orders for the various data products within the NNDC. These requests can be electronic (email or web-based), paper (letters or faxes), or telephonic.

Authorized Disposition:
Cut-off at end of quarter in which order/request has been completed. Destroy/delete 6 months after cutoff (or longer if NOAA needs the information for audit purposes).

b. **System Content:**

b.1 **Customer Information**. Information, such as name, address and telephone number, on customers requesting data from the NNDC.

Authorized Disposition:
Cut-off when the last order is place by the customer. Delete 6 years and 3 months after cutoff or when no longer needed for marketing or reference purposes, whichever is later.

b.2   **Product Catalog Information.** This module contains information, such as pricing, media, keywords, descriptions, etc, concerning the various data products available.

Authorized Disposition:
Cut-off at the end of the calendar year when product description is superseded or product is obsolete. Delete when the information is no longer required for reference and/or reporting functions,(at least 6 years and 3 months after cut-off.)

b.3   **Financial Information:.** This module contains the method of payment, credit card number verification and payment information, and similar information for each request of data.

Authorized Disposition:
Cut-off at the end of the fiscal year in which the purchase is made. Delete 6 years and 3 months after cut-off.

b.4   **Marketing Information:** This module contains the names, interests and contact information of customers signed up to receive new product announcements.

Authorized Disposition:
Cut-off data when superseded or no longer needed for marketing and/or reference. Delete immediately upon cut-off.

c.   **System Outputs:**

c.1   **Reports:** Reports and summaries showing customer satisfaction and a variety of performance statistics.

Authorized Disposition:
Cut-off when no longer needed for reporting and/or reference. Destroy immediately upon cut-off.

c.2   **Shipping information:** Work orders, transmittals and packing slips are printed from the system.

Authorized Disposition:
Cut-off when no longer need for reference or reporting. Destroy 6 months after cutoff.

d. **System Documentation:** Information relating to the development and functionality of the system. This includes any testing procedures, quality checking guidelines, government or contractor created manuals and handbooks, and other related materials.

Authorized Disposition:
Cut-off when the system is superseded or obsolete. Destroy 6 years 3 months after cut-off.

e. **System Backup:** Duplicate copy of system content kept to prevent loss of data in the event of a system crash.

Authorized Disposition:
Cut-off when superseded by two subsequent backups. Delete immediately upon cut-off.

1406-03 **Metadata Management Database**

Information system used to provide a common platform and baseline for the storing of station metadata information, such as geographic location, altitude, and other characteristics that provide details of the observation site, to improve comparisons and trend analysis. These comparisons assist in comparing the Environmental Data in 1405-01 throughout many years as locations of observations have changed. The current system is the Metadata Integration and Improvement Initiative (MI^3) Database.

a. **System Inputs**: The metadata comes from converted Legacy systems, is ingested automatically from NWS sites, is input from various ad hoc lists, or is an incorporation of indexed information from paper and microfilm records.

Authorized Disposition:
Cut-off when information has been verified within the system. Delete/destroy when no longer needed for reference.

Note: Disposition instructions for related records in NOAA Chapter 1300 should be consulted before destroying any applicable record.

b. **System Content**: Information detailing the location and instrumentation of observing stations used for climate monitoring.

Authorized Disposition:
Cut-off when system is superseded or when no longer needed for reference, whichever is sooner. Delete 5 years after cut-off.

c.   **System Outputs**: Ad hoc reports based on a direct query of the database. Other major system outputs are regularly scheduled production reports.

    Authorized Disposition:
c.1.   Ad hoc reports: Cut-off when no longer needed for reference. Destroy immediately upon cut-off.

c.2.   Production reports: Cut-off annually. Destroy the later of 10 years or when no longer needed for reference.

d.   **System Documentation:** Information relating to the development and functionality of the system. This includes any requirements and design documentation or diagrams, algorithms, source code, testing procedures, quality checking guidelines, government or contractor created manuals and handbooks, and other related materials.

    Authorized Disposition:
Cut-off when system is obsolete or documentation is superseded. Delete/destroy 15 years after cut-off.

e.   **System Backups:** Duplicate copies of the database files, kept to prevent loss of data in the event of a system crash. Backups are made according to a documented schedule, with ad hoc "baseline" configuration backups made as needed to document specific software configurations.

    Authorized Disposition:
e.1.   Regularly scheduled backups: Cut-off when superseded by newer copy.
        (a).   Daily Backups: Destroy (overwrite) 7 days after cutoff.
        (b).   Weekly backups: Destroy (overwrite) 28 days after cutoff.
        (c).   Monthly backups: Destroy (overwrite) 52 weeks after cutoff.

e.2.   Ad hoc backups: Cut off upon production. Delete when superseded by next ad-hoc backup.

1406-04   Data Products Project Files (New item)

This series covers all the aspects of projects, from inception to completion, that repackage or add value to data within the NOAA National Data Centers, including working papers, final product, and project-related correspondence.

a.   **Non-Routine or Special Request Projects.**
Products that have resulted from a special request (i.e. Defense Department requesting information on Afghanistan to help rebuild the country) or projects that generated public interest for reasons such as: winning a prestigious award, breaking new scientific ground, or generating media interest/controversy. Review annually all projects that were completed to determine if any were special or non-routine.

Authorized Disposition:
Permanent. Cut-off when project is complete. Transfer to NARA at that time.

b.   **Routine Projects**
Projects that result from the normal course of agency business and tend to be updated periodically based on new data. Examples of such projects include Climate Normals, Ocean Database, and Climate Atlas of the United States.

Authorized Disposition:
Cut-off when product is superseded or no longer needed for reference or research purposes. Destroy 3 years after cut-off.

c.   **Working Papers**
Background materials used in the day-to-day development of the product. Also includes computer code (paper and electronic) and related documentation.
Note: These do not include any significant project-related correspondence that show development of the project. These correspondence should be filed with a. or b. above.

Authorized Disposition:
Cut-off when project is completed. Destroy/delete one year after cutoff.

d.   **Electronic copies created on word processing and electronic mail systems**

Authorized Disposition:
Delete after recordkeeping copy is produced.

1407 Office of Systems Development

1407-01   Radio Frequency Assignment Files (New item)

Documents the Radio Frequency Assignment actions and activities for the National Environmental Satellite, Data, and Information Services (NESDIS) assignments. Assignment is the process of selecting operating frequencies for radio equipment, ideally in such a way as to permit each system to operate without causing harm (interference) to other systems or receiving interference from them. Assignments are based on allocations, the process which determines what radio services (radar, broadcast TV, environmental satellite or amateur) should operate in a particular band of frequencies.

Files contain information resulting from coordination with the Department of Commerce (DOC) Office of Radio Frequency Management (ORFM), NESDIS offices or others requesting additions, deletions or new assignments. The DOC ORFM reviews all requests and forwards them to the Frequency Assignment Branch of the National Telecommunications and Information Administration (NTIA) Office of Spectrum Management. These assignment requests are then reviewed (over a 15 day working period) by the NTIA Frequency Assignment Subcommittee, which is comprised of 23 federal government agency representatives. Such requests also include the NTIA required five-year review of frequency assignments and all input and output from the "Spectrum XXI" (i.e. a frequency assignment software package provided by NTIA). Assignment requests approved by the Frequency Assignment Subcommittee are recorded in the NTIA Government Master File (GMF) of Frequency Assignments.

> **AUTHORIZED DISPOSITION**:
> **a.**   Paper: Cut-off when the last satellite in the satellite series is decommissioned. Destroy three years after cut-off.
>
> **b.**   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1407-02   Radio Frequency Interference Cases (New item)

These files contain information concerning cases of interference involving or potentially involving transmitters or receivers of the National Environmental Satellite, Data, and Information Services

> **AUTHORIZED DISPOSITION:**
> **a.**   Paper: Cut-off when the case is closed. Destroy three years after cut-off.
>
> **b.**   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1407-03 **Frequency Management Program Files** (New item)

These files are segregated by program, (e.g. GOES and POES), and contain Frequency Management subjects related to those specific programs to include such items as Cooperative Agreements, Memoranda of Understanding, and Stages 1-4 of the Spectrum Certification work with NTIA's Spectrum Planning Subcommittee which are coordinated through the DOC Office of Radio Frequency Management (ORFM).

    AUTHORIZED DISPOSITION:
    a.   Paper: Cut off when the case is closed. Destroy 3 years after cut off.

    b.   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1407-04 **Allocation and Reallocation Files** (New item)

These files contain information relative to attempts to reallocate Federal government portions of the radio frequency spectrum to other uses. They also comprise files on meetings and coordination of redefinition, or closer definition, of the use of portions of the Spectrum used by the Federal Government.

    AUTHORIZED DISPOSITION:
    a.   Paper: Cut off when the case is closed. Destroy 3 years after cut off.

    b.   Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.